

# **Solihull Metropolitan Borough Council**

## **Annual Permit Scheme Evaluation Report**

**2018-2019**

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## 1. Executive Summary

The Solihull Permit Scheme (SPS) was introduced on 1st October 2018, replacing the noticing system that had previously been in place. The Permit Scheme applies to works on all adopted and publicly maintainable streets within the administrative boundaries of Solihull Metropolitan Borough Council (SMBC), including works undertaken by Highway Authority and Statutory Undertakers. This report evaluates the operational performance of the permit scheme in its first year covering the period from 1st October 2018 to 30th September 2019.

The successful introduction of the scheme has resulted in greater control over road and street works taking place in Solihull. By ensuring that the works are carried out at the least disruptive time along with suitable traffic management, the impact of works has reduced.

In the first year of operation, the recorded number of days where streets were occupied and affected the community has reduced. For utility work, this has reduced by 1082 days and for the authority's own works by 9002 days. However, the figure for SMBC's own works may not reflect a true comparison of occupation reduction, as a number of notices may have failed to have been closed promptly before the introduction of the scheme. This has now been addressed with more robust processes in place which will enable improved comparison in future years.

SMBC has worked hard with all promoters to achieve the objectives of the scheme. A great collaborative approach and ongoing dialogue have resulted in the average occupation per works to reduce by 17% from an average of 3.5 days to 2.9 days. There has been an increase in collaborative works / joint occupation, and more first-time reinstatement which has resulted in fewer revisits to the site to complete the works.

SMBC received 8882 permit applications and permit variations during the year, of which 7514 were from external work promoters. 97.56% of permit requests were granted which shows good cooperation between SMBC and all work promoters. Whilst the number of utility works has actually increased, it is pleasing to see that the number of days occupation has reduced.

SMBC has applied parity to all works as required by the scheme, however, there is a further drive in year 2 to ensure that all authority works are recorded via the permits scheme in order to better demonstrate this.

The fees received in year 1 have reflected the cost of operating the scheme with a small surplus. This will be used in future years to make further improvements.

Following this review of the scheme, the recommendations below have been noted:

- A review of procedures for submitting permit applications to ensure all highway works are recorded in the system,
- A review of the SMBC process for closing permits to ensure they are timely and reflect reality,
- Continuation of the drive to reduce road occupancy,
- A review of permit conditions on utility applications to ensure they are recorded under the correct categories, and
- A review of costs and benefits during year 2 and 3 to determine if fees should be adjusted if there is a significant surplus.

## 2. Introduction

This report sets out the Solihull Permit Scheme's operational performance in its first year.

The Traffic Management Act 2004 (TMA), Part 3 Sections 32 to 39 and the Traffic Management Permit Scheme (England) Regulations 2007 and Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 make provision for Permit Schemes to be introduced in England. The Solihull Permit Scheme was adopted by the council on 1st October 2018 and reflects the requirements of this legislation.

The scheme supports our duties under both section 59 of the New Roads and Street Works Act 1991 and section 16 of the Traffic Management Act 2004.

### 3. Objectives of the Solihull Permit Scheme

The purpose of the scheme is to enable SMBC to improve the strategic and operational management of the highway network through better planning, scheduling, and management of activities to reduce delay and congestion on the road network in Solihull. The objectives of the Solihull Permit Scheme are detailed in Section 3 of the scheme document and are again stated below:

- Enhanced co-ordination and co-operation
- Encouragement of partnership working between the Permit Authority, all Promoters and key stakeholders
- Provision of more accurate and timely information to be communicated between all stakeholders including members of the public
- Promotion and encouragement of collaborative working
- Improvement in timing and duration of activities particularly in relation to the busiest streets within the network
- Promotion of dialogue with regard to the way activities are to be carried out
- Enhanced programming of activities and better forward planning by all Promoters

The average occupation of the highway by utility companies has been reduced by 17%, from 3.5 days to 2.9 days when compared to the previous year. This is achieved by having regular dialogues with work promoters and by ensuring conditions on the permit are met.

Table 1.1: Occupation of the highway by Utility Companies

Duration	Noticing 2017-18	Year 1 2018 -19	Diff
Average duration (days)	3.5	2.9	-0.6 (17%)
Total number of days worked	15,828	14,746	-1,082 (7%)

Table 1.2: Occupation of the highway by SMBC

Duration	Noticing 2017-18	Year 1 2018 -19	Diff
Average duration (days)	20.6	3.5	-17.1 (83%)
Total number of days worked	12,243	3,241	-9,002 (73.5%)

Before the permit scheme, highway works noticing was not a statutory requirement, many of the internal works carried out by SMBC had not been closed out on the noticing system in a timely manner. Hence the data shown might not fully reflect the average occupancy changes.

The permit scheme has enabled SMBC to have greater control on the works carried out by applying conditions on the way works are managed by the work promoter, and challenging variation requests on the duration of works. This has resulted in keeping unnecessary disruption as low as possible.

Enhanced communication and advanced planning have resulted in a small number of works being refused or deemed. SMBC has been spending more time in submitting Permit Modification Request and working with the utilities to get the applications accurate which has resulted in a low refusal rate. Out of all permits received, only 2% of works were refused or deemed ([KPI 1](#)). Out of all works started, only 5% of the works requested a duration extension; 97% of these extensions were approved and 3% were refused where they were found to be unreasonable ([KPI 3](#)). Improved forward planning by works promoters has increased Phase one registrations where permanent reinstatement was carried out at the same time. On average 93% of Phase one registrations were completed with permanent reinstatement, which is much higher than the industry standards ([TPI 7/8](#)). This reduces the need to return to the site in future which causes further disruption.

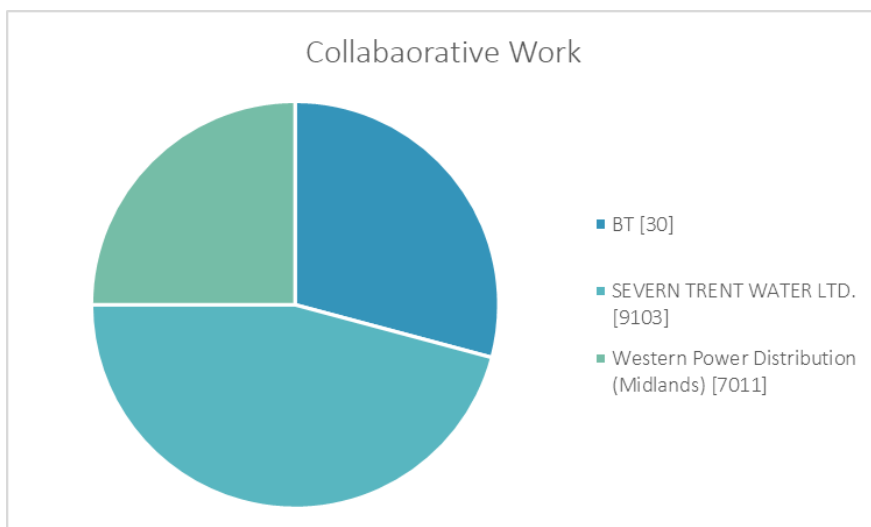
SMBC has encouraged collaborative working arrangements, including trench and duct sharing between promoters wherever possible. Table 2 and Figure 1 shows the number of collaborative works carried out by promoters during the 1<sup>st</sup> year of the permit scheme.

Table 2: Collaborative works by promoters

Organisation	Total
BT [30]	7
SEVERN TRENT WATER LTD. [9103]	11
Western Power Distribution (Midlands) [7011]	6
<b>Grand Total</b>	<b>24</b>



Figure 1: Collaborative works by promoters



With the implementation of the Permit Scheme, the quality of data supplied by all work promoters has significantly improved. A thorough review of all notices received allowed SMBC to look for opportunities for coordination with work promoters. Identified gaps in the supplied data at an early stage of permit noticing process, were rectified to provide more accurate data. Issuing of Fixed Penalty Notices where promoters failed to submit accurate and timely information ([Appendix 2](#)), has encouraged data quality improvement. The Permit Scheme implementation has encouraged better planning when submitting permit applications, which has resulted in fewer rejections. There has been an increase in the submission of traffic management plans in advance which has helped all users of the highway.

The first year of the scheme has focused on bedding it in, but still fulfilling its objectives. At its introduction and during this first year, SMBC has worked with all promoters to improve standards of work and to ensure all the conditions of working are met. It is disappointing when any condition for working is breached, however, in line with SMBC's objective to improve the dialogue with all promoters and to work constructively and collaboratively together, SMBC opted not to issue Fixed Penalty Notices for every failure in year 1. SMBC has discussed failures with teams on-site and with their managers to encourage improvement but have still issued Fixed Penalty Notices where necessary.

## 4. Fee Structure

The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 require that the permit authority to review the existing fee level to determine if any revisions need when a surplus or deficit exists.

The current fee structure for the Solihull Permit Scheme:

Table 3: Fee Structure

Permit Type	Reinstatement Category	
	Category 0,1, 2 or Traffic Sensitive	Category 3 & 4 and Non-Traffic Sensitive
PAA	£105	£75
Major: Over 10 days	£240	£150
Major: 4-10 days	£130	£75
Major: Up to 3 days	£65	£45
Standard	£130	£75
Minor	£65	£45
Immediate	£60	£40

In 2018-2019, the Permit Fee income invoiced was £404,265.

The operating costs to process utility permit applications for the same period is calculated at £373,924. This is broken down as employee costs at £274,869 and allowable overheads at £99,055.

[Source: DfT Fees Matrix used to calculate permit fee structure prior to the implementation of the scheme.]

This constitutes a small surplus of £30,341 in year 1 (7.5% of annual fee income) which will be used in year 2 to ensure further improvements.

## 5. Costs and Benefits

The Traffic Management Permit Scheme (England) (Amendment) Regulations 2015 require that the Permit Authority also shall consider whether the permit scheme is meeting Key Performance Indicators (KPIs) where these are set out in the guidance. The benefits of permit schemes are normally quantified by multiplying the number of days saved on the network over the whole year multiplied by the average cost per day incurred by motorists travelling through traffic managed sites.

Under Noticing, 28,071 working days were recorded between October 2017 and September 2018. For the same 12-month period during 2018-19 – corresponding to the first year of the Permit Scheme - 17,987 working days were recorded; a saving of 10,084 days worked on the network.

The majority of this saving is a result of a near 75% reduction in recorded days worked on highway authority works, despite a nearly twofold increase in the number of works recorded. This equates to a saving of 9,002 days from a Noticing benchmark of 12,243 days.

It is likely that not all highway works were closed out timeously under Noticing and this scale of reduction may not reflect the situation on the road network.

The number of Utility works have increased by 12% from 4,466 works to 5,005. Despite this increase, the number of days occupation of the network has reduced by 7% from 15,828 days to 14,746 days: a saving of 1,082 days. This has resulted in a reduction in average works duration from 3.5 days to 2.9 days.

The key performance metrics are presented in Figure 2 below.

The Cost Benefit Analysis conducted in 2017 (source: *Permit Scheme Cost Benefit Analysis*, September 2017, Table 49 page 37) calculated the impact of 1 year worth of typical street works at £17.04M (an average of the High and Low impact scenarios modelled - stated at 2010 values, in line with standard CBA procedures).

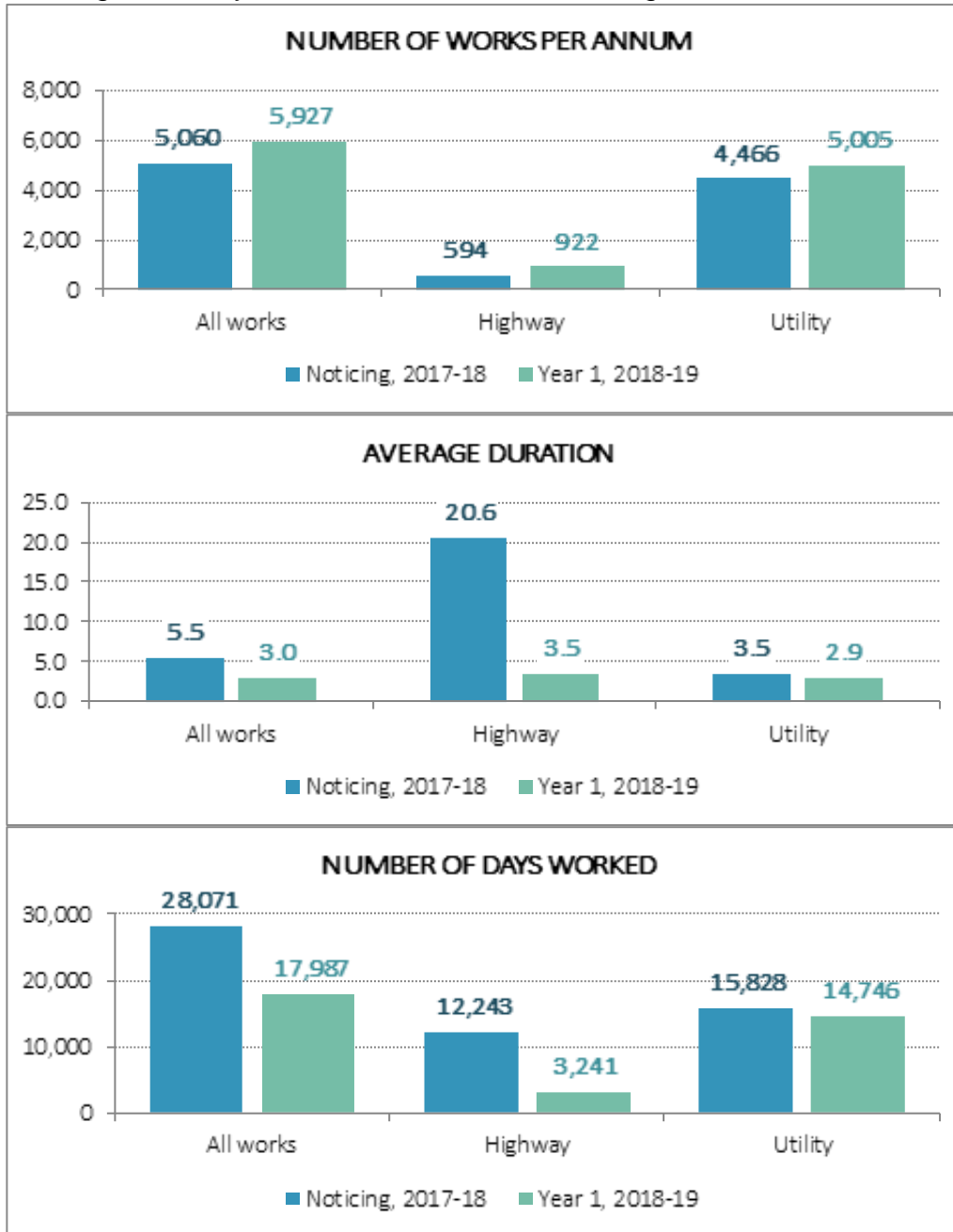
For the 28,071 working days recorded under Noticing, this equates to an average cost of £607 per day for all work types.

Therefore, the calculated monetary benefit to transport users of the Permit Scheme in year 1 is

- Utility works only **£656,858** (at 2010 values) or **3.9%** of annual impact
- All works **£6,121,771** (at 2010 values) or **35.9%** of annual impact

Some of the reduction in working days for highways works will be an actual saving, therefore the monetary benefit of the Permit Scheme is at least £656,000 in year 1.

Figure 2: Key Performance Metrics, Noticing v. Permit Scheme



In addition to calculating the monetary benefit of the first year of the Scheme, this section also re-evaluates the Cost Benefit Analysis (CBA) replacing the estimated number of works and works types with the numbers recorded in year 1.

The methodology involves the following steps using the year 1 data records.

- Identify the number of works by works category and road type
- Update opening year 2018 Quadro modelling with volumes recorded in 2018 (to replace the 2018 forecast from 2016 data used in the previous assessment)
- Recalculate the annual impact using updated Quadro model outputs
- Recalculate the operating costs (using the 2.5% cost increase for every 5% increase in the number of permits stated in the CBA report)

- Recalculate the NPV and BCR for default 5% saving and recorded 6.8% saving in working days

The number of works by works category and street types are shown in Table 4 below.

Table 4: Number of works by street type

Street Type	Previous CBA 2016	Updated CBA 2018
RC 0-2 Major	40	40
RC 0-2 Standard	147	95
RC 0-2 Minor	639	586
RC 0-2 Urgent	295	186
RC 0-2 Emergency	121	63
RC 3-4 Major	113	151
RC 3-4 Standard	246	472
RC 3-4 Minor	1,504	2,979
RC 3-4 Urgent	805	1,147
RC 3-4 Emergency	148	208
<b>All works</b>	<b>4,058</b>	<b>5,927</b>
<b>Cat 0-2 works</b>	<b>1,242</b>	<b>970</b>
<b>Cat 3-4 works</b>	<b>2,816</b>	<b>4,957</b>

The table shows a reduction in the number of works recorded on Category 0, 1 and 2 streets in the first year of the Scheme, but a 2,000 increase in the number of works on Category 3 and 4 streets.

The DfT traffic count database was interrogated to identify 2018 recorded daily volumes for the 50 counter sites used in the previous CBA modelling.

Traffic volumes increased from the 2016 volumes used in the previous assessment in 31 of the cases and reduced in 18. While the daily volumes increased by 5% to 15% in many cases, the overall net effect of the update to 2018 volumes was a 0.8% reduction in total flow across all 50 sites.

The most significant change being a 16% reduction from 16,383 vehicles per day to 13,764 vehicles per day on the A41 between the B425 Solihull and Lincoln Road.

A comparison of the 2016 and 2018 daily volumes is shown in Table 5 on the following page.

Table 5: Comparison of 2016 and 2018 DfT Daily Volumes

Ref No	Road	Start Junction	End Junction	2016	2018	2016-18 Growth
1	A41	B4102 Solihull	M42 Junction 5	13,931	14,575	4.6%
2	A45	B4104	Maxstoke Lane	22,995	23,225	1.0%
3	A452	A446	M42	5,020	4,742	-5.5%
4	A34	M42	Creynolds Lane	10,712	10,781	0.6%
5	A4141	Rising Lane	B4101 Station Rd	7,608	7,656	0.6%
6	A452	Red Lane	A4177	2,407	2,420	0.6%
7	A3400	B4101	M42	10,237	10,275	0.4%
8	A452	M42	Coleshill Heath Rd	4,864	4,897	0.7%
9	A452	A4177	B4101	4,112	4,140	0.7%
10	A41	B425 Solihull	Lincoln Road	16,383	13,764	-16.0%
11	A4141	B4101 Station Rd	M42	9,205	8,544	-7.2%
12	A4177	Honiley Road	A452	4,366	5,192	18.9%
13	A34	B4102	Haslucks Green Rd	14,904	15,859	6.4%
14	A41	B425W Solihull	B425E Solihull	2,737	2,739	0.1%
15	A452	Coleshill Heath Rd	B4114	9,111	9,184	0.8%
16	A452	B4101	B4102	23,960	24,169	0.9%
17	A34	Haslucks Green Rd	Solihull Lane	3,493	3,484	-0.2%
18	A41	B4102 Hampton Lane	B425	4,037	4,033	-0.1%
19	A452	B4102	A45	8,327	8,388	0.7%
20	A452	B4114	M6 roundabout	25,142	26,848	6.8%
21	A45	A452	B4104	975	1,012	3.8%
22	A34	Creynolds Lane	B4102	10,874	10,862	-0.1%
23	A45	Damsons Parkway	B4438	34,908	35,000	0.3%
24	A45	B4438	M42	19,881	21,771	9.5%
25	B4118	B4119	B4117	11,378	11,843	4.1%
26	B4102	B4438	Eastcote Lane	5,804	5,689	-2.0%
27	B4438	Coleshill Heath Rd	A452	9,262	8,873	-4.2%
28	B4114	Hurst Lane	Cooks Lane	15,091	16,137	6.9%
29	B4102	B425	B4025	32,068	27,448	-14.4%
30	B4102	B4104	Walsh Lane	5,806	5,588	-3.7%
31	B4101	Manor Road	Station Road	9,614	8,513	-11.5%
32	B4114	School Lane	Old Croft Lane	12,650	10,607	-16.1%
33	Damson Parkway	A45	Damson Parkway	15,867	15,877	0.1%
34	Cuttle Pool Lane	B4101	Chadwick Lane	49	57	16.7%
35	Bosworth Drive	Winchester Drive	Moorend Avenue	12,022	11,698	-2.7%
36	Widney Lane	Whitefields Road	Cranemore Blvd	12,914	13,288	2.9%
37	Greensland Road	Helmswood Drive	Nevada Way	2,498	2,570	2.9%
38	Lady Byron Lane	A4141	Tilehouse Green Lane	6,667	6,673	0.1%

39	Coventry Road	Spencers Lane	Hockley Lane	1,813	1,813	0.0%
40	Geoffrey Road	Watwood Road	Delrene Road	412	359	-12.7%
41	Yoxhall Road	Longmore Road	Willow Road	5,551	4,929	-11.2%
42	Southfield Avenue	Chestnut Drive	Woodford Avenue	1,406	1,356	-3.5%
43	Wyckham Road	Hawthorne Road	Selworthy Road	1,217	1,259	3.5%
44	Stoneymoor Drive	Parkfield Drive	Faircroft Road	653	660	1.1%
45	Ashby Court	Alderminster Road	End of Road	101	112	10.9%
46	Thornby Avenue	A41	Manor Road	586	682	16.5%
47	Stretton Road	Baxters Road	Woodlands Lane	3,199	3,066	-4.1%
48	Heath Gardens	Heath Road	Heath Road	119	100	-15.2%
49	Tomlinson Road	Green Lane	B4118	756	777	2.9%
50	B425	Castle Lane	Hob's Meadow	20,172	20,748	2.9%
			<b>Total</b>	<b>457,864</b>	<b>454,282</b>	<b>-0.8%</b>

The 250 Quadro models - 5 models for each of the 50 sites – were re-run for the 2018 opening year using the 2018 DfT daily traffic flows.

The recalculated monetary impact of delays at roadworks in year 1 is shown in Table 6 below.

Table 6: Recalculated Monetary Impact of Works, 2018 Data

	Previous CBA 2016	Updated CBA 2018
Tables 1-10 High	£17,356,025	£16,705,976
Tables 11-20 Low	£14,697,597	£14,325,567
5% occupancy saving High	£867,801	£835,299
5% occupancy saving Low	£734,880	£716,278
<b>5% occupancy saving Average</b>	<b>£801,341</b>	<b>£775,789</b>
10% occupancy saving High	£1,735,602	£1,670,598
10% occupancy saving Low	£1,469,760	£1,432,557
<b>10% occupancy saving Average</b>	<b>£1,602,681</b>	<b>£1,551,577</b>
6.8% occupancy saving High	£1,180,210	£1,136,006
6.8% occupancy saving Low	£999,437	£974,139
<b>6.8% occupancy saving Average</b>	<b>£1,089,823</b>	<b>£1,055,072</b>

All prices quoted at 2010 values

The Table shows a slight reduction in total impact for the High and Low scenarios. This is due to a reduction in the number of works on Category 0 to 2 streets (where traffic flows are generally higher) and a net reduction in the daily traffic volumes recorded in 2018.

The CBA has been assessed for the 5% and 10% reduction in occupancy used in the previous assessment and for the 6.8% reduction recorded for utility works only. The reduction in occupancy for highway works has not been included to avoid over-stating the benefits of the Scheme.

Operating costs have been assumed to increase from £343,385 per annum to £422,462 in the first year, due to the increase in the number of permit applications submitted in year 1, compared with the number estimated in the CBA.

The recalculated Benefit to Cost Ratio (BCR) for each occupancy reduction is shown in Table 7 below.

Table 7: Recalculated Benefit to Cost Ratio (BCR)

	Previous CBA 2016	Updated CBA 2018
Benefit to Cost Ratio (BCR) 5% saving	2.33	1.84
Benefit to Cost Ratio (BCR) 6.8% saving	3.28	2.50
Benefit to Cost Ratio (BCR) 10% saving	4.82	3.67

While the BCR is slightly below the DfT value for money threshold of 2.0 for the 5% occupancy saving advised in the permit guidance, the analysis of the year 1 permit records shows at least a 6.8% saving in occupancy for utility works only. The saving is much higher than this if the reported reduction highways occupancy is included.

A BCR of slightly below 2.0 is not uncommon for permit schemes in the first year, due to the set-up and operational costs being higher; including hardware and software purchase and staff training. For example, the BCR for the St Helens Council scheme was projected at 1.80 in year 1 and 2.5 in subsequent years over the 25-year assessment period.

A 6.8% saving would achieve a BCR of 2.50 in the first year of the Scheme, demonstrating the DfT value for money threshold has been achieved in the first year.

The true saving is much higher than this, however, as the 6.8% occupancy reduction for utility works is achieved despite a 12% increase in the number of permits completed; therefore, the effective benefit achieved in year 1 is much higher than this at an average 17.5% reduction in occupancy.

Including the savings for highway works would further increase the benefit to at least a 20% saving overall. Therefore, the true benefits of the Scheme in year 1 would achieve a BCR in excess of 5.0.

## 6. Key Performance Indicators

Section 20.3 of the Permits Code of Practice states that every Authority that wants to run a Permit Scheme must explain how it intends to demonstrate parity of treatment



for all promoters in its application. To demonstrate that the permit scheme is operated with parity, SMBC has applied a set of Key Performance Indicators (KPIs) shown below. The data has been extracted for the 1<sup>st</sup> year of scheme operations between 01-Oct-2018 and 30-Sep-2019.

### KPI 1: Permit & Variation Applications Received, Granted & Refused

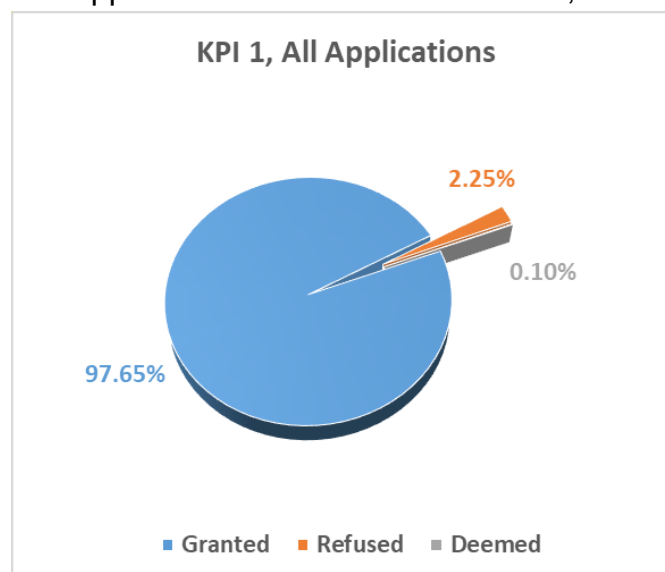
SMBC received a total of 8,882 Permit and Permit Variation Applications between 1<sup>st</sup> October 2018 and 30<sup>th</sup> September 2019, out of which 16% of applications were received from Council's Highway Authority and the rest, 84% of applications, were received from 19 other work promoters. The share of permits applications for Highway works is lower compared to Highway works of similar Metropolitan Borough Councils which tend to be in a range of 39% to 59%.

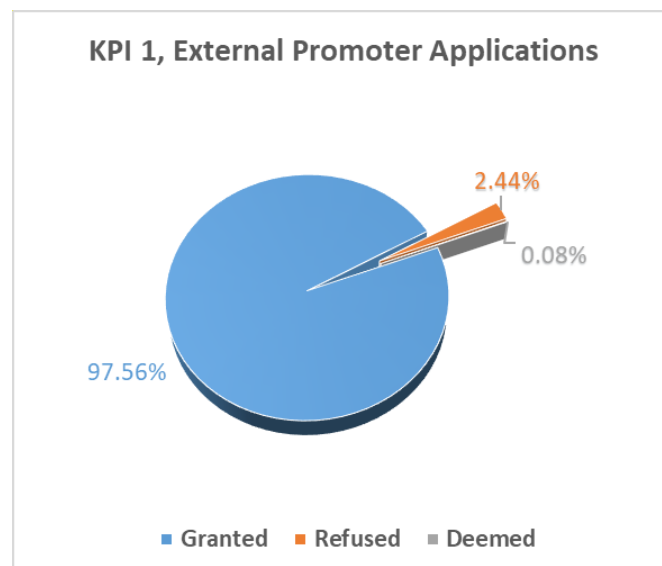
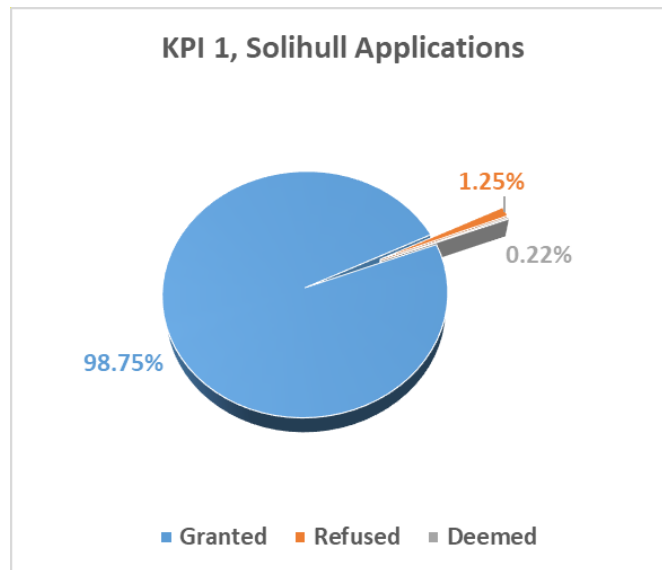
Table 4 shows the number of permit applications and variations received, granted, refused, and deemed for the first year of the scheme.

Table 8: Permit Applications & Variations Received, Granted & Refused

	Applications	Granted	Refused	Deemed
Solihull Council	1,359	1,342 (98.75%)	17 (1.25%)	3 (0.22%)
External Promoters	7,514	7,371 (97.56%)	183 (2.44%)	6 (0.08%)
Combined	8,882	8,673 (97.65%)	200 (2.25%)	9 (0.10%)

Figure 3: Permit Applications & Variations Received, Granted & Refused





During the first year of the Permit Scheme operation, 97.65% of all permit applications received by SMBC were approved, while 2.25% of works were refused due to various reasons. In line with the SMBC’s operational objective to work constructively and collaboratively with all promoters, only 200 applications were refused and 9 deemed for all promoters. Thorough review and improved dialogue with all promoters have resulted in very few applications being refused or deemed.

The approval and refusal rate are very similar for both internal and external works, demonstrating parity in the Permit Scheme operations.

### KPI 2: Number of Conditions Applied by Condition Type

A total of 7138 standard conditions were applied to 8,882 granted permits. 97% of the conditions are related to utility permits. The greatest number of conditions applied to utility permits relate to work methodology constraints, date constraints, traffic space

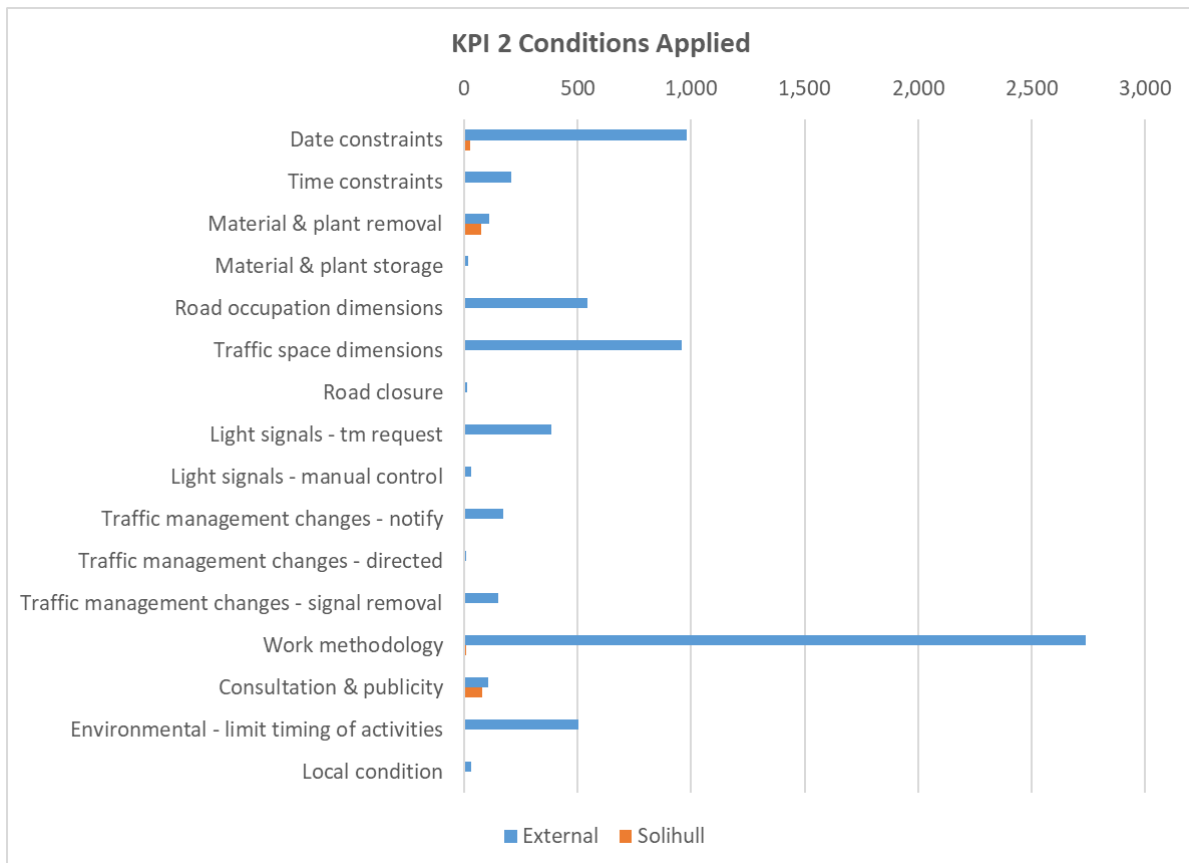
dimensions, road occupation, environmental - limit timing of activities, light signals - tm request and time constraints.

Highway permit conditions are predominantly related to consultation & publicity, material & plant removal and date constraints. The number of conditions for highway permits overall is recognised to be low. It is considered that this is due to a number of factors, but fundamentally is a result of the overall low number of highways permits issued in the first year of the scheme. The type of works combined with effective pre scheme collaboration and discussions contributed to fewer date constraint, road occupation and traffic space dimension conditions being required or issued for Highway works which again contributed towards the low overall number of highway permit conditions being issues in year 1.

Table 9: Number of Conditions Applied by Condition Type

Condition	Condition Description	External	Solihull	All
NCT02a	Date constraints	982	25	1,007
NCT02b	Time constraints	209	2	211
NCT04a	Material & plant removal	109	76	185
NCT04b	Material & plant storage	15	0	15
NCT05a	Road occupation dimensions	543	2	545
NCT06a	Traffic space dimensions	957	0	957
NCT07a	Road closure	13	0	13
NCT08a	Light signals - tm request	384	0	384
NCT08b	Light signals - manual control	31	0	31
NCT09a	Traffic management changes – notify	171	0	171
NCT09b	Traffic management changes – directed	7	2	9
NCT09c	Traffic management changes - signal removal	149	0	149
NCT10a	Work methodology	2,738	7	2,745
NCT11b	Consultation & publicity	104	80	184
NCT12a	Environmental - limit timing of activities	503	0	503
NCT13	Local condition	29	0	29
	<b>TOTAL</b>	<b>6,944</b>	<b>194</b>	<b>7,138</b>
		<b>97%</b>	<b>3%</b>	

Figure 4: Number of Conditions Applied by Condition Type



### KPI 3: Number of Approved Revised Durations

Table 10 shows the number of Revised Duration (Extension) requests received, granted, and refused for internal and external works.

Table 10: Number of Approved Revised Durations

	Solihull Council	External Promoters	Overall
Permit Granted	1,342	7,371	8,673
Extension Requests	16 (1%)	353 (5%)	369 (4%)
Extensions Agreed	16 (100%)	341 (97%)	357 (97%)
Extensions Refused	0 (0%)	12 (3%)	12 (3%)

Of the permits granted during the evaluation period, only 4% requested duration extensions with a breakdown of 1% for internal works and 5% for external works.

Out of 7,371 permits granted for external promoter works, duration extension applications were received for, 5% and 97% of these duration extension applications were agreed and only 3% were refused.

Out of 1,342 permits granted for internal highway works, duration extension applications were received for only 1% and 100% of these duration extension applications were agreed.

The low number of duration extensions and higher approval rates for these extensions once again highlights SMBC's high level of coordination and collaboration with all promoter during all the stages of works carried out on their road network.

## KPI 7: Number of inspections carried out to monitor conditions

Table 11 shows the number of inspections carried out for Permit Conditions for SMBC internal works and External Promoters, along with the pass and fail rates of the inspections.

Table 11: Number of inspections carried out to monitor conditions

	Solihull Council	External Promoters	Overall
Permit Granted	1,342	7,371	8,673
Inspections	11 (1%)	446 (6%)	457 (5%)
Passed	3 (27%)	298 (67%)	301 (66%)
Failed	8 (73%)	148 (33%)	156 (34%)

During the first year of operation of the Permit Scheme, SMBC has carried out inspections to monitor conditions for a total of 5% of the permits granted. 1% for internal works, and 6% for external promoter works. Of all inspections carried out, 66% were passed while 34% failed due to various breaches. The pass rate (67%) of inspection carried out for external promoted works is much higher than the pass rate (27%) of inspection carried out for internal works.

For external work promoters, failure to comply with any condition of a permit could result in a Fixed Penalty Notice. SMBC has issued 56 FPNs for working without a permit and 177 FPNs for a breach of permit conditions breaches in the first year of operating the scheme. A total of 592 FPN were issued to external works promoters during the first year, with the majority of the remainder for Section 74(7B) breaches.

NOTE: SMBC recognises the need to increase monitoring inspections of all works, but with a particular emphasis on internal works, in June 2020 two new permit compliance officers were appointed to the team. The focus of these two new staff will be to carry out inspections and monitor compliance with conditions on granted permits and their appointment is expected to address the identified imbalance referenced above.

## 7. Traffic Management Act Performance Indicators (TPI)

The TMA Performance Indicators (TPI's) are a collection of measures for Works Promoters in the Streetworks Industry designed by HAUC UK and EDG members.

### TPI 1 Works Phases Started

Table 12 shows the count of all Works phases that started by each quarter by promoters. A total of 6,119 works was started from 1<sup>st</sup> of October 2018 to 30<sup>th</sup> September 2019, out of which 975 were highway works and 5,144 were utility works.

Table 12: Works Phases Started

Promoter	Q3 18/19	Q4 18/19	Q1 19/20	Q2 19/20
Cadent Gas Limited	93	118	97	91
BT	213	402	306	355
SOLIHULL	211	304	238	230
Western Power Distribution (Midlands)	144	112	140	128
Vodafone	3	8	4	7
Network Rail - Promoters National	3	2	4	3
Virgin Media	174	194	115	253
Romec	3	1	1	0
Clear Channel	0	5	2	2
GTC	4	3	6	4
SSE DATACOM	5	0	0	0
T-Mobile (UK) Limited	3	3	5	5
ES Pipelines Ltd	0	2	0	0
Last Mile Electricity Limited	0	0	3	3
Fulcrum Pipelines Limited	3	6	6	4
CityFibre	5	0	0	0
HS2 Ltd	11	6	9	0
Severn Trent Water Ltd.	555	488	468	509
Centro	6	12	6	13
<b>Total all promoters</b>	<b>1436</b>	<b>1666</b>	<b>1410</b>	<b>1607</b>

\*Since this is the first year of the scheme operation, some TPI counts may include Notices counts of works that started before permit scheme implementation and completed after implementation.

## TPI 2 Works Phases Completed

Table 13 shows the count of all Works phases completed by each quarter by promoters. A total of 6,121 works phases were completed from 1<sup>st</sup> of October 2018 to 30<sup>th</sup> September 2019, out of which 1006 were highway works and 5,115 were utility works.

Table 13: Works Phases Completed

Promoter	Q3 18/19	Q4 18/19	Q1 19/20	Q2 19/20
Cadent Gas Limited	94	116	98	87
BT	224	374	321	361
Solihull	223	308	237	238
Western Power Distribution (Midlands)	138	118	127	137
Vodafone	3	8	4	7
Network Rail - Promoters National	3	2	4	3
Virgin Media	177	192	117	243
Romec	3	1	1	0
Clear Channel	0	5	2	2
GTC	4	3	6	4
SSE DATACOM	5	0	0	0
T-Mobile (UK) Limited	3	3	5	5
ES Pipelines Ltd	1	2	0	0
Last Mile Electricity Limited	0	0	2	4
Fulcrum Pipelines Limited	4	6	6	4
CityFibre	5	0	0	0
WarwickNet Ltd	0	0	1	2
HS2 Ltd	10	6	6	0
Severn Trent Water LTD.	552	487	461	509
Centro	6	12	6	13
<b>Total all promoters</b>	<b>1455</b>	<b>1643</b>	<b>1404</b>	<b>1619</b>

\*Since it is the first year of the scheme operation, some TPI counts may include Notices counts of works that started before permit scheme implementation and completed after implementation



### TPI 3 Days of Occupancy Phases Completed

Table 14 shows the count of all Works occupancy days for any works phases that were active (in progress) at any time within a given quarter, only days within the quarter are counted.

Table 14: Days of Occupancy Phases Completed

Promoter	Q3 18/19	Q4 18/19	Q1 19/20	Q2 19/20
Cadent Gas Limited	1743	1736	2063	1969
BT	1760	2990	2417	2191
SOLIHULL	6027	6357	7117	7829
Western Power Distribution (Midlands)	3278	2745	3036	3265
Vodafone	14	15	9	28
Network Rail - Promoters National	5	16	11	15
Virgin Media	1718	1727	1539	1895
Romec	3	1	1	0
Clear Channel	0	9	4	3
GTC	47	33	27	24
SSE DATACOM	7	0	0	0
T-Mobile (UK) Limited	3	5	9	11
ES Pipelines Ltd	5	9	0	0
Last Mile Electricity Limited	0	0	19	26
Fulcrum Pipelines Limited	22	24	35	16
CityFibre	13	0	0	0
WarwickNet Ltd	0	0	5	2
HS2 Ltd	66	194	360	368
Severn Trent Water Ltd.	4335	3813	3855	4252
Centro	468	498	463	478
<b>Total all promoters</b>	<b>19514</b>	<b>20172</b>	<b>20970</b>	<b>22372</b>

\*Since it is the first year of the scheme operation, some TPI counts may include Notices counts of works that started before permit scheme implementation and completed after implementation. We believe the counts also include the works started any time before the observation period and did not receive a work stop notice. The actual number of days worked calculated by work stop notices can be found in [Appendix 1](#)

## TPI 4 Average Duration of Works

Table 15 shows the average duration in days for all those Work phases that were completed within each quarter by promoters. The average duration for all promoters in the 1<sup>st</sup> year of scheme's operation is 4.07\* days.

Table 15: Average Duration of Works

Promoter	Q3 18/19	Q4 18/19	Q1 19/20	Q2 19/20
Cadent Gas Limited	11.74	8.21	10.66	12.74
BT	3.06	4.69	4.44	3.14
SOLIHULL	3.55	3.59	4.83	6.15
Western Power Distribution (Midlands)	7.96	6.58	5.92	9.85
Vodafone	4.67	1.88	2.25	4
Network Rail - Promoters National	1.67	8	2.75	5
Virgin Media	1.97	1.94	1.52	1.99
Romec	1	1	1	0
Clear Channel	0	1.8	2	1.5
GTC	11.75	11	4.5	6
SSE DATACOM	1.4	0	0	0
T-Mobile (UK) Limited	1	1.67	1.8	2.2
ES Pipelines Ltd	12	4.5	0	0
Last Mile Electricity Limited	0	0	6.5	8
Fulcrum Pipelines Limited	7	4	5.83	4
CityFibre	2.6	0	0	0
WarwickNet Ltd	0	0	1	3
HS2 Ltd	4	17.33	5.17	0
Severn Trent Water Ltd.	2.82	2.37	2.23	2.71
Centro	1.33	4	1.33	1.38
<b>Total all promoters</b>	<b>3.96</b>	<b>3.88</b>	<b>4.07</b>	<b>4.37</b>

\*Since it is the first year of the scheme operation, some TPI counts may include Notices counts of works that started before permit scheme implementation and completed after implementation. Also, these counts may include the works for which works stop notices are not sent on time. The actual average duration will be less than 4.07. The actual calculations based on the works stopped during the 1<sup>st</sup> year of the scheme operation for overall and by works category average duration can be found in [Appendix 1](#)

## TPI 5 Phases Completed Involving Overrun

Table 16 shows the count of works phases where the Works Stop Date was after the “Reasonable Period” for the phase for each quarter by promoters. A total of 99 work phases were completed after the reasonable period, out of which 47 works were Highway works and 53 works were utility works.

Table 16: Phases Completed Involving Overrun

Promoter	Q3 18/19	Q4 18/19	Q1 19/20	Q2 19/20
Cadent Gas Limited	2	6	1	6
BT	0	4	0	0
SOLIHULL	4	15	8	20
Western Power Distribution (Midlands)	1	0	3	0
HS2 Ltd	2	0	0	0
Severn Trent Water Ltd.	12	4	6	5
<b>Total all promoters</b>	<b>21</b>	<b>29</b>	<b>18</b>	<b>31</b>

\*Since it is the first year of the scheme operation, some TPI counts may include Notices counts of works that started before permit scheme implementation and completed after implementation

## TPI 6 Number of Overrun Days

Table 17 shows the sum of the total overrun days for those work phases that were completed during the quarter for each quarter by promoters. A total of 1315 overrun days, out of which 1175 days overrun by Highway works and 140 days overrun by utility works.

Table 17: Number of Overrun Days

Promoter	Q3 18/19	Q4 18/19	Q1 19/20	Q2 19/20
Cadent Gas Limited	4	10	10	43
BT	0	4	0	0
SOLIHULL	110	126	218	721
Western Power Distribution (Midlands)	1	0	6	0
HS2 Ltd	7	0	0	0
Severn Trent Water Ltd.	23	6	12	14
<b>Total all promoters</b>	<b>145</b>	<b>146</b>	<b>246</b>	<b>778</b>

\*Since it is the first year of the scheme operation, some TPI counts may include Notices counts of works that started before permit scheme implementation and completed after implementation.

Some permits may have been recorded as having overrun, however, this may be due to data errors rather than physical occupation of the highway. Each case of overstay is investigated in detail by SMBC, and where appropriate, the promoters were charged.

The steady upward trend in number of overrun days for Solihull works indicates that some of the works might not have been closed on time. It is recommended to review the internal process to close the permits on time and to reflect the reality on the ground (Recommendation 2).

The list with the number of works stopped permits by Highways function in total is added to [Appendix 3](#).

## TPI 7/8 Number of Phase One Registrations/Phase One Permanent Registrations

Table 18 shows the count of works of all sites on the Full Registration notice for the works phase. It also shows the percentage where permanent reinstatement has been carried out in Phase One. On average, 93% of Phase One registrations were completed with permanent reinstatement, which is much higher than the industry standards.

Table 18: Number of Phase One Registrations/Phase One Permanent Registrations

Promoter	Registration	Q3 18/19	Q4 18/19	Q1 19/20	Q2 19/20
Cadent Gas Limited	Phase One Registrations	80	104	88	68
	Phase One Permanent Registrations	78	103	87	66
	% of Phase One Permanent Registrations	98%	99%	99%	97%
BT	Phase One Registrations	187	311	273	290
	Phase One Permanent Registrations	178	308	269	282
	Phase One Permanent Registrations	95%	99%	99%	97%
SOLIHULL	Phase One Registrations	218	277	194	195
	Phase One Permanent Registrations	193	200	125	152
	Phase One Permanent Registrations	88%	72%	64%	78%
Western Power Distribution (Midlands)	Phase One Registrations	113	91	105	113
	Phase One Permanent Registrations	110	89	104	112
	Phase One Permanent Registrations	97%	98%	99%	99%
Vodafone	Phase One Registrations	3	6	1	1
	Phase One Permanent Registrations	2	5	1	1

	Phase One Permanent Registrations	67%	83%	100%	100%
Virgin Media	Phase One Registrations	153	135	96	178
	Phase One Permanent Registrations	150	128	90	170
	Phase One Permanent Registrations	98%	95%	94%	96%
Romec	Phase One Registrations	3	1	1	0
	Phase One Permanent Registrations	3	1	1	0
	Phase One Permanent Registrations	100%	100%	100%	
Clear Channel	Phase One Registrations	0	5	2	2
	Phase One Permanent Registrations	0	5	2	1
	Phase One Permanent Registrations		100%	100%	50%
GTC	Phase One Registrations	3	3	6	2
	Phase One Permanent Registrations	2	3	3	2
	Phase One Permanent Registrations	67%	100%	50%	100%
T-Mobile (UK) Limited	Phase One Registrations	1	2	3	5
	Phase One Permanent Registrations	1	2	3	5
	Phase One Permanent Registrations	100%	100%	100%	100%
ES Pipelines Ltd	Phase One Registrations	1	2	0	0
	Phase One Permanent Registrations	1	2	0	0
	Phase One Permanent Registrations	100%	100%		

Last Mile Electricity Limited	Phase One Registrations	0	0	2	2
	Phase One Permanent Registrations	0	0	2	1
	Phase One Permanent Registrations			100%	50%
Fulcrum Pipelines Limited	Phase One Registrations	3	3	6	4
	Phase One Permanent Registrations	3	3	6	4
	Phase One Permanent Registrations	100%	100%	100%	100%
WarwickNet Ltd	Phase One Registrations	0	0	0	2
	Phase One Permanent Registrations	0	0	0	2
	Phase One Permanent Registrations				100%
HS2 Ltd	Phase One Registrations	10	4	6	0
	Phase One Permanent Registrations	0	0	0	0
	Phase One Permanent Registrations	0%	0%	0%	
Severn Trent Water Ltd.	Phase One Registrations	475	422	415	436
	Phase One Permanent Registrations	459	417	409	428
	Phase One Permanent Registrations	97%	99%	99%	98%
Centro	Phase One Registrations	6	12	6	13
	Phase One Permanent Registrations	6	8	6	13
	Phase One Permanent Registrations	100%	67%	100%	100%
Total all promoters	<b>Phase One Registrations</b>	<b>1256</b>	<b>1378</b>	<b>1204</b>	<b>1311</b>
	<b>Phase One Permanent Registrations</b>	<b>1186</b>	<b>1274</b>	<b>1108</b>	<b>1239</b>
	<b>Phase One Permanent Registrations</b>	<b>94%</b>	<b>92%</b>	<b>92%</b>	<b>95%</b>

\*Since it is the first year of the scheme operation, some TPI counts may include Notices counts of works that started before permit scheme implementation and completed after implementation

## TPI 13 Early Start Agreements

Table 19 shows the count of works phases where an “Early Start” has been agreed. There was a total of 528 early starts agreed out of which 136 were for Highways works and 392 were for utility works.

Table 19: Early Start Agreements

Promoter	Q3 18/19	Q4 18/19	Q1 19/20	Q2 19/20
Cadent Gas Limited	10	8	16	18
BT	14	114	85	23
SOLIHULL	17	46	32	41
Western Power Distribution (Midlands)	11	6	16	8
Vodafone	0	0	1	2
Virgin Media	0	11	1	1
Clear Channel	0	5	0	0
GTC	0	0	0	1
T-Mobile (UK) Limited	0	1	1	1
Last Mile Electricity Limited	0	0	2	0
Fulcrum Pipelines Limited	0	1	0	0
SEVERN TRENT WATER LTD. [9103]	5	10	7	13
<b>Total all promoters</b>	<b>57</b>	<b>202</b>	<b>161</b>	<b>108</b>

\*Since it is the first year of the scheme operation, some TPI counts may include Notices counts of works that started before permit scheme implementation and completed after implementation



## 8. Conclusions

The first year of the Solihull Permit Scheme operations is considered to be a success. This review lays out key recommendations to further improve the operations for year 2.

In the first year of operation, it is pleasing to see that the number of days occupation has reduced, whilst the number of works has increased. The average occupation per works to reduce by 17% from an average of 3.5 days to 2.9 days for utility works. The year 1 scheme operation shows improved cooperation between SMBC and all work promoters, with a small number of works being refused or deemed. SMBC has applied parity to all works as required by the scheme.

The fees received in year 1 have reflected the cost of operating the scheme with a small surplus. This will be used in year 2 to make further improvements to the operation of the scheme and embedding Street Manager, which is expected to improve the process of managing and coordinating works carried out in the highways.

With the implementation of the Permit Scheme, the quality of data supplied by all work promoters has significantly improved, resulting in high quality of information recorded on the Streetworks Register. Identification of gaps in the supplied data at an early stage of permit noticing process helped to record more accurate data.

## 9. Recommendations

Based on the overall analysis of operating the Permit scheme in year 1, the following recommendations have been made for year 2.

### **Recommendation 01:**

Review procedures for submitting permit applications to ensure all highway works requiring permits are recorded in the system. Additional focus to be given to specific Highways functions to improve permitting compliance in Year2

### **Recommendation 02:**

Review the SMBC process for closing permits to ensure they are timely and result in more accurate data

### **Recommendation 03:**

SMBC to continue to drive down road occupancy to maintain the reduction at more than 5% and to demonstrate >2 BCR projected benefits in subsequent years

### **Recommendation 04:**

Review utility application permit conditions to see if conditions applied are under correct categories

### **Recommendation 05:**

Income and costs should be reviewed during year 2 and 3 and consideration should be given to adjusting the fee structure at the end of year 3, should the identified surplus be maintained

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Date	Description	Recipient(s)	Action
30/05/2020	Draft	Shantanu Mukherjee	Internal review
02/06/2020	Revised Draft	Saanchi & SMBC	Checkpoint #1
09/06/2020	Revised Draft	Saanchi	Internal review
06/07/2020	Revised Draft	Saanchi	Internal review
08/07/2020	Revised Draft	Saanchi	Internal review
09/07/2020	Revised Draft	Saanchi & SMBC	Checkpoint #2
22/07/2020	Revised Draft	Saanchi & SMBC	Actioned on Checkpoint #2 review comments
31/07/2020	Final Draft	Saanchi & SMBC	All comments incorporated for final review

## 11. Appendix

### 1. Summary Tables

The summary tables data shows the average duration by works category for internal works and utility works.

#### Solihull Works

Table 20: SMBC – Average works duration, year on year comparison

DURATION	Noticing 2017-18	Year 1 2018-19	Diff
Average duration (days)	20.6	3.5	-17.1
<b>Total number of days worked</b>	<b>12,243</b>	<b>3,241</b>	<b>-9,002</b>

Table 21: SMBC – Year 1, 2018-19, Works duration by works category

DURATION	Major	Standard	Minor	Immed. (urgent)	Immed. (Emerg.)
Average duration (days)	9.9	6.9	2.6	1.8	1.9
<b>Total number of days worked</b>	<b>945</b>	<b>283</b>	<b>1,972</b>	<b>14</b>	<b>27</b>

Table 22: SMBC – Noticing, 2017-18, Duration by works category

DURATION	Major	Standard	Minor	Immed. (urgent)	Immed. (Emerg.)
Average duration (days)	18.2	52.0	13.2	26.0	4.9
<b>Total number of days worked</b>	<b>1,219</b>	<b>5,568</b>	<b>5,371</b>	<b>26</b>	<b>59</b>

Table 23: SMBC - Difference, Year 1 - Noticing

DURATION	Major	Standard	Minor	Immed. (urgent)	Immed. (Emerg.)
Average duration (days)	-8.3	-45.1	-10.6	-24.2	-3.0
<b>Total number of days worked</b>	<b>-274</b>	<b>-5,285</b>	<b>-3,399</b>	<b>-12</b>	<b>-32</b>

Durations for major works will vary depending on the activity and length of works. Immediate and urgent works are not planned in advance and are therefore more difficult to manage. However, there is a marked improvement since the introduction of the scheme. Standard and minor works have defined occupation periods and are generally planned in advance, these too show a significant improvement.

### External Promoter Works

Table 24: Utilities – Average works duration, year on year comparison

DURATION	Noticing 2017-18	Year 1 2018-19	Diff
Average duration (days)	3.5	2.9	-0.6
<b>Total number of days worked</b>	<b>15,828</b>	<b>14,746</b>	<b>-1,082</b>

### Works duration by category

Table 25: Utilities – Year 1, 2018-19, Duration by works category

DURATION	Major	Standard	Minor	Immed. (urgent)	Immed. (Emerg.)
Average duration (days)	16.9	5.6	1.8	3.0	4.6
<b>Total number of days worked</b>	<b>1,621</b>	<b>2,940</b>	<b>5,063</b>	<b>3,927</b>	<b>1,195</b>

Table 26: Utilities – Noticing, 2017-18, Duration by works category

DURATION	Major	Standard	Minor	Immed. (urgent)	Immed. (Emerg.)
Average duration (days)	18.6	6.5	1.8	3.3	5.1
<b>Total number of days worked</b>	<b>3,409</b>	<b>2,478</b>	<b>4,426</b>	<b>3,892</b>	<b>1,623</b>

Table 27: Utilities – Difference, Year 1 - Noticing

DURATION	Major	Standard	Minor	Immed. (urgent)	Immed. (Emerg.)
Average duration (days)	-1.7	-0.9	0.0	-0.3	-0.5
<b>Total number of days worked</b>	<b>-1,788</b>	<b>462</b>	<b>637</b>	<b>35</b>	<b>-428</b>

Durations for major works will vary depending on the activity and length of works. Immediate and urgent works are not planned in advance and are therefore more difficult to manage. However, there is again a marked improvement since the introduction of the scheme. Standard and minor works have a defined occupation periods and are generally planned in advance, these too show an improvement.

## 2. Infringements

Table 28: Infringements by promoters by categories

	70(6)	74(7B)	19(1)	20(1)	55(5)	55(9)	54(5)	Total	Granted	%
BT	22	46	8	40	0	0	1	117	1,956	6%
Virgin Media	21	15	4	6	0	0	0	46	1,185	4%
Severn Trent Water	23	64	13	70	3	1	12	186	2,622	7%
Cadent Gas Limited	23	71	7	28	1	0	15	145	630	23%
Western Power Distribution	12	18	18	26	4	2	9	89	691	13%
Network Rail	0	1	0	0	0	0	0	1	11	9%
Fulcrum Pipelines	1	0	0	0	0	0	0	1	30	3%
Other utilities	1	1	0	4	0	0	1	7	206	3%
Solihull Council	3	23	6	3	0	0	0	35	1,342	3%
<b>TOTAL</b>	<b>106</b>	<b>239</b>	<b>56</b>	<b>177</b>	<b>8</b>	<b>3</b>	<b>38</b>	<b>627</b>	<b>8,673</b>	<b>7%</b>

s.70(6) - Failure to provide registration details (Partial or Full) of interim or permanent reinstatement within 10 working days from the date on which the reinstatement is completed

s.74(7B) - Failure to provide a notice of Actual start date, Revised duration or works clear/closed (Works Stop)

Regulation 19 creates the criminal offence for an undertaker or someone acting on its behalf to undertake works without a valid permit.

Regulation 20 creates the criminal offence for an undertaker or someone acting on its behalf to undertake works in breach of a condition.

S 55(5) - works have actually started on site without a valid notice in place

S 55(9) – Cancellation

S54(5) – Advance notice

Figure 5: FPN issued by categories

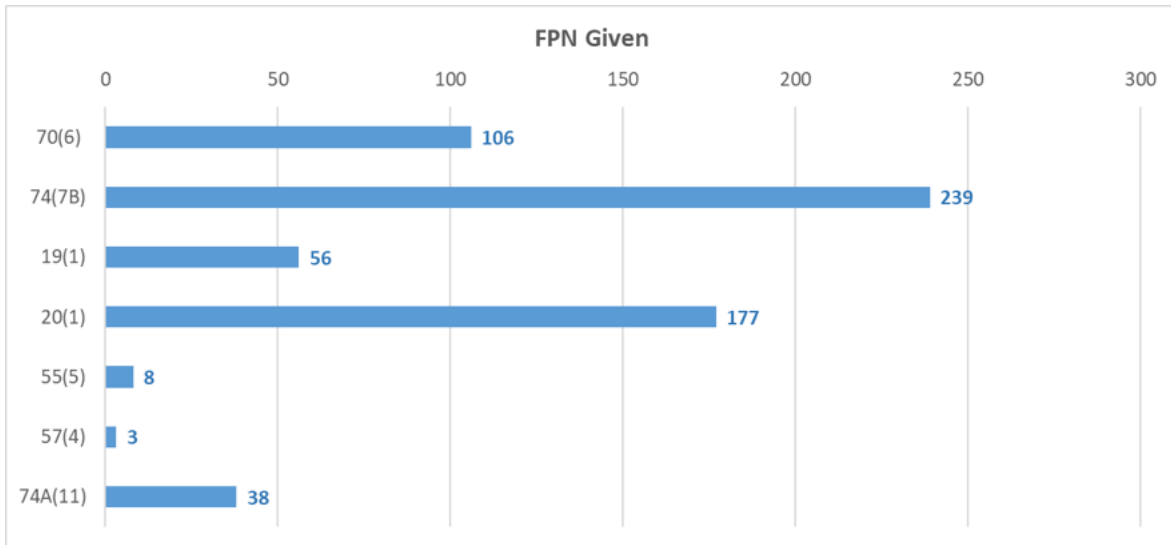
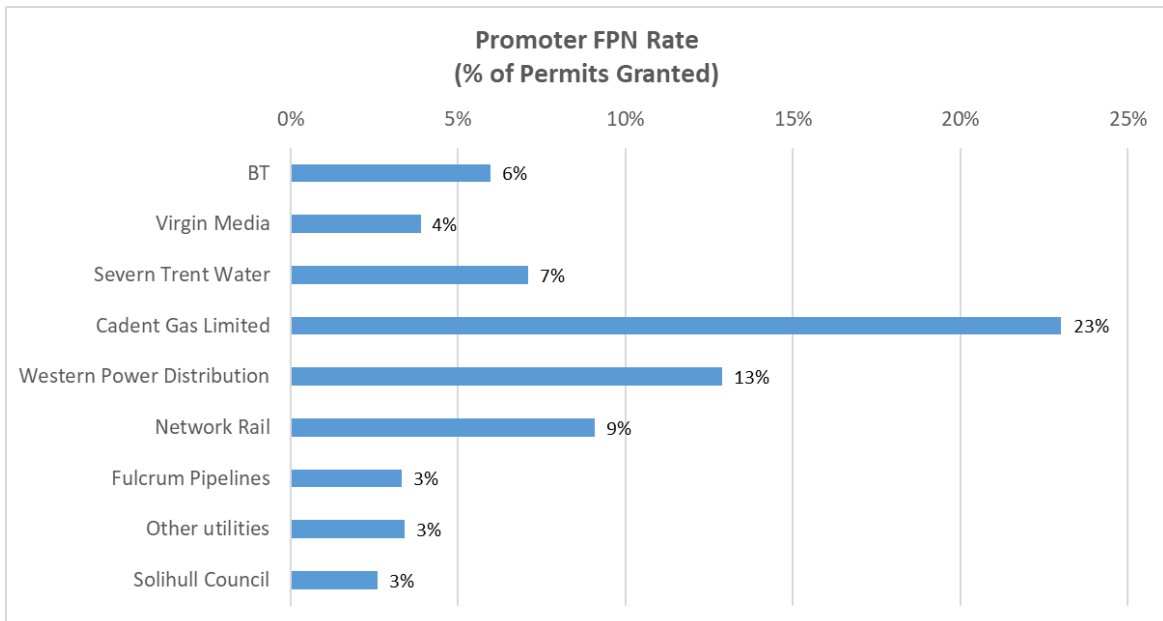


Figure 6: Promoter FPN Rate



### 3. Highway works split by functions

Table 29 gives the number of works stopped permits where a LF prefix is used to show the breakdown within SMBC. There are 922 highways records in total.

Table 29: The number of works stopped permits

<b>Internal Promoter</b>	<b>No. Works Stopped Permits, Year 1 2018-19</b>
Traffic Managers Department	3
Street Lighting	84
UTC	6
Grounds Maintenance	48
Forestry Services	2
Highway Design (278 Works)	1
Street Lighting (CSD)	144
Balfour Beatty	634
<b>Total</b>	<b>922</b>